

RECEIVED

MAR 30 2007

TECH CENTER 1600/2900

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



PATENT

Customer No. 22,852

Attorney Docket No. 9960.0007-04

In re Application of:

STICE et al.

U.S. Patent No.: 6,215,041  
(filed as Appln. 09/004,606)

Issued: April 10, 2001

)  
)  
) Group Art Unit: 1632  
)  
) Examiner: D. Crouch  
)  
) Confirmation No.: 1434  
)

For: CLONING USING DONOR NUCLEI FROM NON-QUIESCENT SOMATIC CELLS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**TRANSMITTAL LETTER**

Applicant submits the following:

1. Disclaimer in Patent Under 37 C.F.R. 1.321(a) with copy of Assignment recorded September 9, 1998, at Reel 9443, Frame 0514.
2. \$130.00 Check for Statutory Disclaimer Fee.

Kindly associate these papers with this patent and charge any additional required fees to Deposit Account 06-0916.

Respectfully Submitted,

Dated: March 13, 2007

By: 

Salvatore J. Arrigo, Reg. No. 46,063  
Telephone: 202-408-4160  
Facsimile: 202-408-4400  
E-mail: arrigos@finnegan.com



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

### DISCLAIMER IN PATENT UNDER 37 CFR 1.321(a)

Name of Patentee University of Massachusetts Representated by its Amherst Campus	Docket Number (Optional) 9960.0007-04
Patent Number 6,215,041	Date Patent Issued April 10, 2001
Title of Invention Cloning Using Donor Nuclei from Non-Quiescent Somatic Cells	

I hereby disclaim the following complete claims in the above identified patent: \_\_\_\_\_  
Claims 1-23

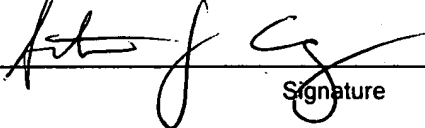
The extent of my interest in said patent is (if assignee of record, state liber and page, or reel and frame, where assignment is recorded): Reel 9443, Frame 0514

The fee for this disclaimer is set forth in 37 CFR 1.20(d).

- ☐ Patentee claims small entity status. See 37 CFR 1.27.
- ☐ Small entity status has already been established in this case, and is still proper.
- ☒ A check in the amount of the fee is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☐ The Director is hereby authorized to charge any fees which may be required or credit any overpayment to Deposit Account No. \_\_\_\_\_. I have enclosed a duplicate copy of this form.

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Signed at Washington, State of D.C., this 12th day of March, 2007

  
\_\_\_\_\_  
Signature

Salvatore J. Arrigo

Typed or printed name of patentee/ attorney or agent of record  
Finnegan, Henderson, Farabow, Garrett & Dunner, LLP  
901 New York Avenue, NW

46,063

Registration Number, if  
applicable

202-408-4160

Telephone Number

Washington, D.C. 20001-4413  
City, State, Zip Code or Foreign Country, as applicable

03/14/2007 SZEWDIE1 00000105 6215041  
130.00 DP

This collection of information is required by 37 CFR 1.321. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

RECEIVED  
MAR 30 2007  
TECH CENTER 1600/1200



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JANUARY 07, 1999

PTAS

BURNS, DOANE, SWECKER & MATHIS, L.L.P.  
ROBIN L. TESKIN  
P.O. BOX 1404  
ALEXANDRIA, VA 22314-1404



\*100829498A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/09/1998

REEL/FRAME: 9443/0514  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
STICE, STEVEN L.

DOC DATE: 05/10/1998

ASSIGNOR:  
CIBELLI, JOSE

DOC DATE: 05/10/1998

ASSIGNOR:  
ROBL, JAMES M.

DOC DATE: 04/22/1998

ASSIGNOR:  
JERRY, D. JOSEPH

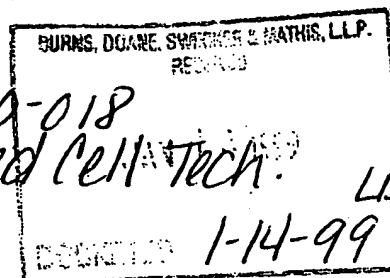
DOC DATE: 04/22/1998

ASSIGNEE:  
MASSACHUSETTS, UNIVERSITY OF, A  
PUBLIC INSTITUTION OF HIGHER  
EDUCATION OF THE COMMONWEALTH OF  
MASSACHUSETTS, AS REPRESENTED BY  
ITS AMHERST CAMPUS  
OFFICE OF VICE CHANCELLOR FOR  
RESEARCH AT AMHERST  
AMHERST, MASSACHUSETTS 01002

TECH CENTER 1300/2900

MAR 30 2007

RECEIVED



9443/0514 PAGE 2

SERIAL NUMBER: 09004606  
PATENT NUMBER:

FILING DATE: 01/08/1997  
ISSUE DATE:

JEEVON JONES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

## ASSIGNMENT (JOINT)

THIS ASSIGNMENT, by STEVEN L. STICE; JOSE CIBELLI; JAMES M. ROBL; PAUL GOLUEKE and D. JOSEPH JERRY, residing at 468 AMHERST ROAD, BELCHERTOWN, MA 01007; 166 VILLAGE PARK, AMHERST, MA 01002; 196 OLD ENFIELD, BELCHERTOWN, MA 01007; 8 DIANE DRIVE #3, BELCHERTOWN, MA 01007 and W. PELHAM ROAD, SHUTESBURY, MA 01072 (hereinafter referred to as "the Assignors"), respectively, witnesseth:

WHEREAS, the Assignors have invented certain new and useful improvements in CLONING USING DONOR NUCLEI FROM DIFFERENTIATED FETAL AND ADULT CELLS, ☐ which is a provisional application to be filed herewith; ☐ which is a non-provisional application having an oath or declaration executed on even date herewith prior to filing of application; ☐ bearing Application No. 09/004,606, and filed on JANUARY 8, 1998; and

WHEREAS, UNIVERSITY OF MASSACHUSETTS, A PUBLIC INSTITUTION OF HIGHER EDUCATION OF THE COMMONWEALTH OF MASSACHUSETTS, AS REPRESENTED BY ITS AMHERST CAMPUS, and having its principal place of business at OFFICE OF VICE CHANCELLOR FOR RESEARCH AT AMHERST, AMHERST, MASSACHUSETTS 01002 (hereinafter referred to as "the Assignee"), is desirous of acquiring the entire right, title, and interest in and to said inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications, including provisional applications for Letters Patent of the United States or other countries claiming priority to said application, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon.

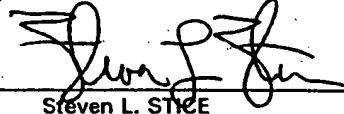
NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, the Assignors have sold, assigned, transferred, and set over, and by these presents do sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns the entire right, title, and interest in and to the above-mentioned inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications for Letters Patent of the United States or other countries claiming priority to said application, and any and all Letters Patent or Patents of the United States of America and all foreign countries that may be granted therefor and thereon, and in and to any and all applications claiming priority to said applications, divisions, continuations, and continuations-in-part of said applications, and reissues and extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by the Assignee, for its own use and behalf and the use and behalf of its successors, legal representatives, and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted as fully and entirely as the same would have been held and enjoyed by the Assignors had this sale and assignment not been made;


AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, the Assignors are the sole and lawful owners of the entire right, title, and interest in and to the inventions set forth in said applications and said applications, including provisional applications, above-mentioned, and that the same are unencumbered, and that the

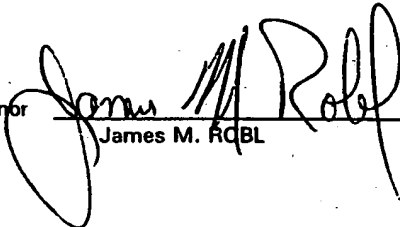
Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth;

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns that the Assignors will, whenever counsel of the Assignee, or the counsel of its successors, legal representatives, and assigns, shall advise that any proceeding in connection with said inventions or said applications for Letters Patent or Patents, or any proceeding in connection with Letters Patent or Patents for said inventions in any country, including interference proceedings, is lawful and desirable, or that any application claiming priority to said application, division, continuation, or continuation-in-part of any applications for Letters Patent or Patents, or any reissue or extension of any Letters Patent or Patents to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement, and defense of Letters Patent or Patents for said inventions, without charge to the Assignee, its successors, legal representatives, and assigns, but at the cost and expense of the Assignee, its successors, legal representatives, and assigns;

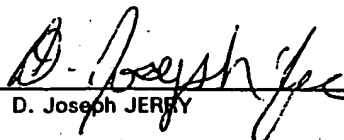
AND the Assignors hereby request the Commissioner of Patents to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions; the Letters Patent to be issued for the sole use and behalf of the Assignee, its successors, legal representatives, and assigns.

Date 5/10/98 Signature of Assignor   
Steven L. STICE

Date 5/10/98 Signature of Assignor   
Jose CIBELLI

Date 4/02/98 Signature of Assignor   
James M. ROBL

Date \_\_\_\_\_ Signature of Assignor \_\_\_\_\_  
Paul GOLUEKE

Date 4/22/98 Signature of Assignor   
D. Joseph JERRY